

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT : ENRIQUE-RUBEN CARDENAS-GRANGUILLHOME AND JUAN-JOSE
GONZALEZ-GARZA

SERIAL No. : EXAMINER :

FILED : GROUP No. :

FOR (TITLE) : A PROCESS FOR THE TREATMENT OF POLLUTED METAL-MECHANIC INDUSTRIAL WASTE
WATER AND URBAN WATER.

VERIFIED STATEMENT AS SMALL ENTITY

Hon. Commissioner of Patents and Trademarks
Washington, D. C. 20231

S I R:

The undersigned declare(s):

Exclusive rights in the above-identified invention reside in the "small entity" defined and named below, and "small entity" fees are appropriate. Qualification as a small entity is based upon the following:
An independent inventor is any inventor who:

☒ X

INDEPENDENT INVENTORS

- 1) has not assigned, granted, conveyed, or licensed, and
- 2) is under no obligation under contract or law to assign, grant, convey, or license any rights in the invention to any person who could not likewise be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a non-profit organization as defined in Rule 1.9.

☐

SMALL BUSINESS CONCERN

A small business concern is defined as a business concern:

- 1) whose number of employees, including those of its affiliates, does not exceed 500 persons, and
- 2) which has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization as defined in Rule 1.9. Concerns are affiliates of each other when, either directly or indirectly, one concern controls or has the power to control the other, or a third party controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

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☐ **NONPROFIT ORGANIZATION** (Check additional applicable box)

A nonprofit organization is defined as:

- ☐ 1) a university or other institution of higher education located in any country; or
- ☐ 2) an organization of the type described in section 501(c)(3) of the Internal Revenue Code of 1954 (26 U.S.C. 501(c)(3) and exempt from taxation under Section 501(a) of the Internal Revenue Code under Section 501(a) of the Internal Revenue Code (26 U.S.C. 501(a); or
- ☐ 3) any nonprofit scientific or educational organization qualified under a nonprofit organization statute of a state of the United States (35 U.S.C. 201(i); or
- ☐ 4) any nonprofit organization located in a foreign country which would qualify as a nonprofit organization under paragraphs (e)(2) or (3), of Rule 1.9 if it were located in the United States.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Enrique-Ruben Cárdenas-Granguillhome
(Print or type name of small entity)

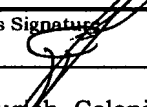


(Signature and title of person authorized to act on behalf of small entity)

July 5, 2000
(Date)

Lago Zumpango No. 6713, Esquina con Lago Zurich, Colonia Lagos del Bosque, Monterrey, Nuevo León, México C.P. 64890.
(Address)

* If "small entity" is more than one inventor or a combination of "small entities", add name(s), address(es) and signature(s) of other parties below. Please include date.

Full Name of Second Joint Inventor, If Any JUAN-JOSÉ GONZALEZ-GARZA	Inventor's Signature 	Date July 5, 2000
Residence Lago Zumpango No. 6713, Esquina con Lago Zurich, Colonia Lagos del Bosque, Monterrey, Nuevo León, México C.P. 64890.	Citizenship MEXICO	
Post Office Address Same as above		
Full Name of Third Joint Inventor, If Any	Inventor's Signature	Date
Residence	Citizenship	
Post Office Address		

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UNITED STATES

PATENT APPLICATION
DECLARATION AND POWER OF ATTORNEY - ORIGINAL APPLICATION

ATTORNEY'S DOCKET
NO. 204,688

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I verily believe I am the original, first and sole inventor (of only one named is listed below) or a joint inventor (if plural inventors are named below) of the invention entitled:

(1) TITLE OF INVENTION (1) A PROCESS FOR THE TREATMENT OF POLLUTED METAL-MECHANIC INDUSTRIAL WASTEWATER AND URBAN WATER.

The specification of which

(2) CHECK
APPROPRIATE
BOX

(2) ☒ is attached hereto.

☐ was filed on _____ As Application No. _____
and was amended on _____ (if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge my duty to disclose information of which I am aware which is material to the examination of this application under 37 CFR 1.56(a); the invention has not been patented or made the subject of an inventor's certificate issued before the date of this application in any country foreign to the United States of America of an application filed by me or my legal representatives or assigns more than twelve months prior to this application; and as to applications for patents or inventor's certificate on the invention filed in any country foreign to the United States prior to this application by me or by my legal representatives or assigns,

(3) CHECK
APPROPRIATE
BOX

(3) ☐ no such application have been filed, or

☒ Such applications have been filed as follows

(4) COMPLETE
DATA
INDICATED
IF APPLICABLE

EARLIEST FOREIGN APPLICATION(S), IF ANY, FILED WITHIN 12 MONTHS PRIOR TO THIS APPLICATION				
Country	Application Number	Date of Filing (day, month, year)	Date of Issue (day, month, year)	Priority Claimed Under 35 USC 119
(4)				<input type="checkbox"/> Yes <input type="checkbox"/> No
				<input type="checkbox"/> Yes <input type="checkbox"/> No
ALL FOREIGN APPLICATION(S), IF ANY, FILED WITHIN 12 MONTHS PRIOR TO THIS APPLICATION				
(4) MEXICO	976,487	26/AUGUST/1997		<input checked="" type="checkbox"/> Yes

I hereby claim the benefit under Title 35, United States Code § 120 of any United States application(s) listed below, and insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national filing date of this application.

C-I-P OF
(5) COMPLETE

(5) 09/090,066 June 3, 1998 Pending

DATA INDICATED
IF APPLICABLE

(Application Ser. No.) (Filing date) (Status: patented, pending, abandoned)

(5) _____
(Application Ser. No.) (Filing date) (Status: patented, pending, abandoned)

09/090,066-074000

Power of Attorney: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

30,659	Jeffrey A. Schwab, Registration Number 24,490	Michael I. Markowitz, Registration Number
25,928	Stewart J. Fried, Registration Number 20,694	Thomas E. Spath, Registration Number
25,837	Jay S. Cinamon, Registration Number 24,156	Joseph J. Catanzaro, Registration Number
41,493	Dennis A. Mason, Registration Number 19,571	Anthony Coppola Registration Number

Send Correspondence To:
Abelman, Frayne & Schwab
150 East 42nd Street
New York, New York 10017 - 5612

Direct Telephone Calls To:
Jeffrey A. Schwab, Stewart J. Fried, Jay S. Cinamon,
Dennis A. Mason, Michael I. Markowitz,
Thomas E. Spath, Joseph J. Catanzaro
or Anthony Coppola at (212) 949-9022

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment or both under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued therefrom.

(6) DETAILS
REQUIRED

FOR EACH
INVENTOR

FULL NAME OF SOLE OR FIRST INVENTOR ENRIQUE-RUBEN CARDENAS - GRANGUILLHOME		INVENTOR'S SIGNATURE 	DATE July 5, 2000
RESIDENCE Lago Zumpango No. 6713, Esquina con Lago Zurich, Colonia Lagos del Bosque, Monterrey, Nuevo León, México C.P. 64890.		CITIZENSHIP México	
POST OFFICE ADDRESS Same as above			
FULL NAME OF SECOND JOINT INVENTOR, IF ANY JUAN-JOSÉ GONZALEZ-GARZA		INVENTOR'S SIGNATURE 	DATE July 5, 2000
RESIDENCE Lago Zumpango No. 6713, Esquina con Lago Zurich, Colonia Lagos del Bosque, Monterrey, Nuevo León, México C.P. 64890.		CITIZENSHIP México	
POST OFFICE ADDRESS Same as above			
FULL NAME OF THIRD JOINT INVENTOR, IF ANY		INVENTOR'S SIGNATURE	DATE
RESIDENCE		CITIZENSHIP	
POST OFFICE ADDRESS			
FULL NAME OF FOURTH JOINT INVENTOR, IF ANY		INVENTOR'S SIGNATURE	DATE
RESIDENCE		CITIZENSHIP	
POST OFFICE ADDRESS			
FULL NAME OF FIFTH JOINT INVENTOR, IF ANY		INVENTOR'S SIGNATURE	DATE
RESIDENCE		CITIZENSHIP	
POST OFFICE ADDRESS			
FULL NAME OF SIXTH JOINT INVENTOR, IF ANY		INVENTOR'S SIGNATURE	DATE
RESIDENCE		CITIZENSHIP	
POST OFFICE ADDRESS			

000720-16927960

ABELMAN, FRAYNE & SCHWAB 150 East, 42nd Street, New York, New York 10017 - 5612

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